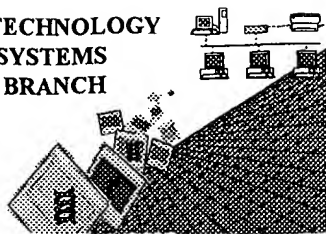


1639

BIOTECHNOLOGY  
SYSTEMS  
BRANCH



TECH CENTER 1600

OCT 29 2002

RECEIVED

#14

# RAW SEQUENCE LISTING ERROR REPORT

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/873,298A  
Source: 1600  
Date Processed by STIC: 10/18/2002

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.

PATENTIN 2.1 e-mail help: [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or phone 703-306-4119 (R. Wax)

PATENTIN 3.0 e-mail help: [patin3help@uspto.gov](mailto:patin3help@uspto.gov) or phone 703-306-4119 (R. Wax)

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE **CHECKER** **VERSION 3.1 PROGRAM**, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:

<http://www.uspto.gov/web/offices/pac/checker>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<<http://www.uspto.gov/ebc/efs/downloads/documents.htm>> , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
3. Hand Carry directly to:  
U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7<sup>th</sup> Floor, Examiner Name, Sequence Information, Crystal Mall One, 1911 South Clark Street, Arlington, VA 22202  
Or  
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service, or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002

**ATTENTION: BOX SEQUENCE****PATENT**

Customer No. 22,852

Attorney Docket No. 08647.0001-00000

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Joseph STEINER *et al.*

Application No.: 09/873,298

Filed: June 5, 2001

For: ROTAMASE ENZYME  
ACTIVITY INHIBITORS

Group Art Unit: 1627

Examiner: Bennett M. Celsa

Commissioner for Patents  
Washington, DC 20231

Sir:

**RESPONSE TO NOTICE TO COMPLY  
WITH SEQUENCE LISTING RULES**

Applicants have received a Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures ("the Notice") dated October 2, 2002, which was accompanied by a Raw Sequence Listing Error Report dated August 9, 2002. During an interview between their representatives and Examiner Celsa on September 25, 2002, Applicants provided both paper and computer-readable copies of a Substitute Sequence Listing along with the statement required by 37 C.F.R. § 1.825. Applicants believe that the Substitute Sequence Listing and statement, which were entered as a Preliminary Amendment on September 25, 2002, constitute a bona fide response to the Notice. A copy of the Notice accompanies this Response.

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com

Application No.: 09/873,298

If there is any fee due in connection with the filing of this Preliminary  
Amendment, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: October 18, 2002

By: 

William L. Strauss  
Reg. No. 47,114

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com

Application No.: **09/873,298****NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

PatentIn Software Program Support

Technical Assistance.....703-287-0200

To Purchase PatentIn Software.....703-306-2600

**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR REPLY**

OFFICIAL :

LAW OFFICES  
**FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P.**  
1300 I Street, N.W.  
Washington, DC 20005

Telephone  
(202) 408-4000

Facsimile  
(202) 408-4400

**FACSIMILE TRANSMITTAL**


To: Examiner Bennett M. Celsa  
Firm: USPTO (Group Art Unit 1639)  
Fax No.: (703) 746-5007 Phone No.: (703) 305-7556  
Application No. 09/873,298  
Subject: Atty. Doc. 08647.0001-00000 Date: October 18, 2002

From: William L. Strauss Phone No.: 202-408-4185  
Fax # Verified by: WLS No. of Pages (incl. this page) 4

Confirmation Copy to Follow: No

**Message:****CERTIFICATE OF TRANSMISSION UNDER 37 C.F.R § 1.8**

I hereby certify that the attached paper, "Response to Notice To Comply with Sequence Listing Rules," is being transmitted by facsimile to the U.S. Patent and Trademark Office on the above-identified date.

  
William L. Strauss  
Reg. No. 47,114

WLS/cob

If there is a problem with this transmission, notify fax room at (202) 408-4174 or the sender at the number above.

This facsimile is intended only for the individual to whom it is addressed and may contain information that is privileged, confidential, or exempt from disclosure under applicable law. If you have received this facsimile in error, please notify the sender immediately by telephone (collect), and return the original message by first-class mail to the above address.

# Raw Sequence Listing Error Summary

## ERROR DETECTED

## SUGGESTED CORRECTION

SERIAL NUMBER: 09/873,298A

ATTN: NEW RULES CASES: PLEASE DISREGARD ENGLISH "ALPHA" HEADERS, WHICH WERE INSERTED BY PTO SOFTWARE

- 1      Wrapped Nucleics  
    Wrapped Aminos  
The number/text at the end of each line "wrapped" down to the next line. This may occur if your file was retrieved in a word processor after creating it. Please adjust your right margin to .3; this will prevent "wrapping."
- 2      Invalid Line Length  
The rules require that a line not exceed 72 characters in length. This includes white spaces.
- 3      Misaligned Amino  
    Numbering  
The numbering under each 5<sup>th</sup> amino acid is misaligned. Do not use tab codes between numbers; use space characters, instead.
- 4      Non-ASCII  
The submitted file was not saved in ASCII(DOS) text, as required by the Sequence Rules. Please ensure your subsequent submission is saved in ASCII text.
- 5      Variable Length  
Sequence(s)      contain n's or Xaa's representing more than one residue. Per Sequence Rules, each n or Xaa can only represent a single residue. Please present the maximum number of each residue having variable length and indicate in the <220>-<223> section that some may be missing.
- 6      PatentIn 2.0  
    "bug"  
A "bug" in PatentIn version 2.0 has caused the <220>-<223> section to be missing from amino acid sequences(s)     . Normally, PatentIn would automatically generate this section from the previously coded nucleic acid sequence. Please manually copy the relevant <220>-<223> section to the subsequent amino acid sequence. This applies to the mandatory <220>-<223> sections for Artificial or Unknown sequences.
- 7      Skipped Sequences  
    (OLD RULES)  
Sequence(s)      missing. If intentional, please insert the following lines for each skipped sequence:  
(2) INFORMATION FOR SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)  
(i) SEQUENCE CHARACTERISTICS: (Do not insert any subheadings under this heading)  
(ii) SEQUENCE DESCRIPTION:SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)  
This sequence is intentionally skipped  
  
Please also adjust the "(ii) NUMBER OF SEQUENCES:" response to include the skipped sequences.
- 8      Skipped Sequences  
    (NEW RULES)  
Sequence(s)      missing. If intentional, please insert the following lines for each skipped sequence.  
<210> sequence id number  
<400> sequence id number  
000
- 9      Use of n's or Xaa's  
    (NEW RULES)  
Use of n's and/or Xaa's have been detected in the Sequence Listing.  
Per 1.823 of Sequence Rules, use of <220>-<223> is MANDATORY if n's or Xaa's are present.  
In <220> to <223> section, please explain location of n or Xaa, and which residue n or Xaa represents.
- 10      Invalid <213>  
    Response  
Per 1.823 of Sequence Rules, the only valid <213> responses are: Unknown, Artificial Sequence, or scientific name (Genus/species). <220>-<223> section is required when <213> response is Unknown or is Artificial Sequence
- 11      Use of <220>  
Sequence(s)      missing the <220> "Feature" and associated numeric identifiers and responses.  
Use of <220> to <223> is MANDATORY if <213> "Organism" response is "Artificial Sequence" or "Unknown." Please explain source of genetic material in <220> to <223> section.  
(See "Federal Register," 06/01/1998, Vol. 63, No. 104, pp. 29631-32) (Sec. 1.823 of Sequence Rules)
- 12      PatentIn 2.0  
    "bug"  
Please do not use "Copy to Disk" function of PatentIn version 2.0. This causes a corrupted file, resulting in missing mandatory numeric identifiers and responses (as indicated on raw sequence listing). Instead, please use "File Manager" or any other manual means to copy file to floppy disk.
- 13      Misuse of n  
n can only be used to represent a single nucleotide in a nucleic acid sequence. N is not used to represent any value not specifically a nucleotide.



1600

## RAW SEQUENCE LISTING

DATE: 10/18/2002

PATENT APPLICATION: US/09/873,298A

TIME: 10:49:17

Input Set : A:\86476001.ST25.txt

Output Set: N:\CRF4\10182002\I873298A.raw

3 <110> APPLICANT: Steiner, Joseph  
 4     Hamilton, Gregory  
 6 <120> TITLE OF INVENTION: Rotamase Enzyme Activity Inhibitors  
 8 <130> FILE REFERENCE: 08647.0001-00000  
 10 <140> CURRENT APPLICATION NUMBER: US 09/873,298A  
 11 <141> CURRENT FILING DATE: 2001-06-05  
 13 <150> PRIOR APPLICATION NUMBER: US 08/551,026  
 14 <151> PRIOR FILING DATE: 1995-10-31  
 16 <150> PRIOR APPLICATION NUMBER: US 09/359,351  
 17 <151> PRIOR FILING DATE: 1999-07-21  
 19 <150> PRIOR APPLICATION NUMBER: US 08/693,003  
 20 <151> PRIOR FILING DATE: 1996-08-06  
 22 <150> PRIOR APPLICATION NUMBER: US 08/479,436  
 23 <151> PRIOR FILING DATE: 1995-06-07  
 25 <160> NUMBER OF SEQ ID NOS: 1  
 27 <170> SOFTWARE: PatentIn version 3.0  
 29 <210> SEQ ID NO: 1  
 30 <211> LENGTH: 4  
 31 <212> TYPE: PRT  
 32 <213> ORGANISM: Artificial Sequence  
 34 <220> FEATURE:  
 35 <221> NAME/KEY: MOD\_RES  
 36 <222> LOCATION: (1)..(1)  
 37 <223> OTHER INFORMATION: N-succinyl-alanine  
 40 <220> FEATURE:  
 41 <221> NAME/KEY: MOD\_RES  
 42 <222> LOCATION: (4)..(4)  
 43 <223> OTHER INFORMATION: phenylalanine-para-nitroanilide  
 46 <400> SEQUENCE: 1  
 48 Ala Phe Pro Phe  
 49 1

Does Not Comply  
Corrected Diskette Needed

see item 11 on Enr Summary  
Sheet

VERIFICATION SUMMARY

DATE: 10/18/2002

PATENT APPLICATION: US/09/873,298A

TIME: 10:49:18

Input Set : A:\86476001.ST25.txt

Output Set: N:\CRF4\10182002\I873298A.raw